



The  
Patent  
Office

ST A

PCT/JP99/00259



18.02.99

INVESTOR IN PEOPLE

The Patent Office  
Concept House  
Cardiff Road  
Newport  
South Wales  
NP9 1RH

REC'D 05 MAR 1999

WIPO PCT

JP 99  
259

09/60 0674

ESU

I, the undersigned, being an officer duly authorised in accordance with Section 74(1) and (4) of the Deregulation & Contracting Out Act 1994, to sign and issue certificates on behalf of the Comptroller-General, hereby certify that annexed hereto is a true copy of the documents as originally filed in connection with the patent application identified therein.

In accordance with the Patents (Companies Re-registration) Rules 1982, if a company named in this certificate and any accompanying documents has re-registered under the Companies Act 1980 with the same name as that with which it was registered immediately before re-registration save for the substitution as, or inclusion as, the last part of the name of the words "public limited company" or their equivalents in Welsh, references to the name of the company in this certificate and any accompanying documents shall be treated as references to the name with which it is so re-registered.

In accordance with the rules, the words "public limited company" may be replaced by p.l.c., plc, P.L.C. or PLC.

Re-registration under the Companies Act does not constitute a new legal entity but merely subjects the company to certain additional company law rules.

PRIORITY DOCUMENT

Signed

Dated

21 JAN 1999

THE PATENT OFFICE  
H  
29 JAN 1998  
RECEIVED BY POST

The  
Patent  
Office

29 JAN 98 E334034-1 5010631  
P01/7700-25.00 - 9801784.1

# Request for grant of a patent

(See the notes on the back of this form. You can also get an explanatory leaflet from the Patent Office to help you fill in this form)

The Patent Office

Cardiff Road  
Newport  
Gwent NP9 1RH

1. Your reference P50037GB

2. Patent application number  
(The Patent Office will fill in this part)

9801784.1

3. Full name, address and postcode of the or of each applicant (underline all surnames)

Sharp Kabushiki Kaisha  
22-22 Nagaïke-cho  
Abeno-ku, Osaka 545  
Japan

Patents ADP number (if you know it)

If the applicant is a corporate body, give the country/state of its incorporation

Japan

08644421001

4. Title of the invention Scoring of Text Units

5. Name of your agent (if you have one)

"Address for service" in the United Kingdom to which all correspondence should be sent (including the postcode)

Marks & Clerk  
Nash Court  
Oxford Business Park South  
Oxford  
OX4 2RU

Patents ADP number (if you know it)

0001560001

07271125001

6. If you are declaring priority from one or more earlier patent applications, give the country and the date of filing of the or of each of these earlier applications and (if you know it) the or each application number

Country

Priority application number  
(if you know it)

Date of filing  
(day / month / year)

7. If this application is divided or otherwise derived from an earlier UK application, give the number and the filing date of the earlier application

Number of earlier application

Date of filing  
(day / month / year)

8. Is a statement of inventorship and of right to grant of a patent required in support of this request? (Answer 'Yes' if:

Yes

- a) any applicant named in part 3 is not an inventor, or
  - b) there is an inventor who is not named as an applicant, or
  - c) any named applicant is a corporate body.
- See note (d))

## Scoring of Text Units

- The invention relates to a method and a system for scoring text units (e.g. sentences),  
 5 for example according to their contribution in defining the meaning of a source text  
 (*textual relevance*), their ability to form a cohesive subtext (*textual connectivity*) or the  
 extent and effectiveness to which they address the different topics which characterise  
 the subject matter of the text (*topic aptness*).
- 10 When abridging a text it is desirable to select a portion of the text which is most  
 representative in that it contains as many of the key concepts defining the text as  
 possible (*textual relevance*). This selection, known as "summarisation", may also take  
 into consideration the degree of *textual connectivity* among sentences so as to minimise  
 the danger of producing summaries which contain poorly linked sentences.
- 15 Computing *lexical cohesion* for all pair-wise text unit combinations in a text provides an  
 effective way of assessing textual relevance and connectivity in parallel, see for  
 example Hoey M. (1991) *Patterns of Lexis in Text*. OUP, Oxford, UK; and Collier A.  
 (1994) *A System for Automatic Concordance Line Selection*. NEMLAP 1994,  
 20 *Manchester, UK*. A simple way of computing a lexical cohesion for a pair of text units  
 is to count *non-stop* words which occur in both text units. Non-stop words can be  
 intuitively thought of as words which have high informational content. They usually  
 exclude words with a very high frequency of occurrence, e.g. closed class words such as  
 determiners, preposition and conjunctions, see for example, Fox, C. (1992) *Lexical*  
 25 *Analysis and Stoplists*, in Frakes W and Baeza-Yates R (eds) *Information Retrieval:*  
*Data Structures & Algorithms*. Prentice Hall, Upper Saddle River, NJ, USA, pp 102-  
 130.

A sample list of stop words is given below:-

30

a about above across after again against all almost alone along  
 already also although always among and another any anybody anyone  
 anything anywhere are area areas around as ask asked asking asks at  
 away b back backed backing backs be became because become becomes been  
 35 before began behind being beings best better between big both but by c  
 came can cannot case cases certain certainly clear clearly come could

d did differ differently do does done down downed downing  
 ..... v very w want wanted wanting wants was way ways we well  
 wells went were what when where whether which while who whole whose why  
 will with within without work worked working works would x y year years yet you  
 5 young younger youngest your yours z

Text units which contain a greater number of shared non-stop words are more likely to provide a better abridgement of the original text for two reasons:

- 10 1. the more often a word with high informational content occurs in a text, the more topical and germane to the text the word is likely to be, and
2. the greater the times two text units share a word, the more connected they are likely to be.

15

As an illustrative example, consider the ranking of the following sample text, where digits surrounded by hash characters (#) are text unit indexes.

- 20 #1# Report: Apple looking for a Partner
- #2# NEW YORK (Reuter) – Apple is actively looking for a friendly merger partner, according to several executives close to the company, the New York Times said in Thursday.
- #3# One executive who does business with Apple said Apple employees told him the company was again in talks with Sun Microsystems, the paper said.
- 25 #4# On Wednesday, Saudi Arabia's Prince Alwaleed Bin Talal Bin Abdulaziz Al Saud said he owned more than five percent of the computer maker's stock, recently buying shares on the open market for a total of \$115 million.
- #5# Oracle Corp Chairman Larry Ellison confirmed on March 27 he had formed an independent investor group to gauge interest in taking over Apple.
- 30 #6# The company was not immediately available to comment.

To compute lexical cohesion according to the method suggested by Hoey, (see above reference), all unique pairwise combinations of text units are scored according to how many words they share, as shown in the table below.

Text unit pairs		Words shared	Score
#1#	#2#	Apple, look, partner	3
#3#	#5#	Apple, Apple	2
#1#	#3#	Apple, Apple	2
#3#	#6#	company	1
#1#	#4#		0
#4#	#5#		0
#1#	#5#	Apple	1
#4#	#6#		0
#1#	#6#		0
#5#	#6#		0
#2#	#3#	Apple, Apple, executive, company	4
#2#	#4#		0
#2#	#5#	Apple	1
#2#	#6#	company	1
#3#	#4#		0

The number of shared words (including multiple occurrences of the same word) in each text unit pair provides the individual score for that pair. For example, the individual scores for all pairs involving text unit #2# are:-

	#1#	#2#	#3#	#4#	#5#	#6#
#2#	3		4	0	1	1

Table 1

The final score for a given text unit is obtained by summing the individual scores for that text unit. According to Hoey (see above reference), the number of links (e.g. shared words) across two text units must be above a certain threshold for the two text units to achieve a lexical cohesion rank. For example, if only individual scores greater than 2 are taken into account, the final score for text unit #2# is (3+4=) 7. Proceeding in the same way, the final scores for text units #1# and #3# are 3 and 4 respectively.

Such a scoring provides the following ranking:

- first: text unit #2# (final score: 7);
- second: text unit #3# (final score: 4); and

- third: text unit #1# (final score: 3).

A text abridgement can be obtained by selecting text units in ranking order according to the text percentage specified by the user. For example, a 35% abridgement of the text (ie. an abridgement of up to 35% of the total number of text units in the sample text) would result in the selection of text units #2# and #3#.

Further details about lexical cohesion and the ways in which it can be used to aid summarisation can be found in Hoey and Collier references mentioned above.

10

Other prior art on related technology includes, Doi (1991) Method and apparatus for producing an abstract of a document - US patent 5077668; Ukita et al. (1993) Digital Computing Apparatus for Preparing Document Text - US patent 5257186; Withgott et al. Method and apparatus for Summarising documents according to theme - US patent 5384703; and Pedersen, J. & J. Tukey (1997) Method and Apparatus for Automatic Document Summarisation - US patent 5638543.

15

It is an object of the invention to provide a method and system for ranking text units which overcomes at least some of the disadvantages of the prior art.

20

According to the invention there is provided a method of operating on a text comprising a plurality of text units, each comprising one or more strings, the method comprising the steps of:

25

forming a structure for each of at least some of said strings, in which structure the string is associated with each text unit in which the string occurs;

for each text unit summing the number of occurrences of each other text unit in the same structure or structures so as to form an individual score for each pair of text units; and

30

processing said individual scores for each text unit in order to form a final score for each text unit.

The use of such structures considerably reduces the time taken to operate on the text because it is no longer necessary to count the number of strings shared between all possible pairs of text units in turn.

- 5 More specifically, the degree of connectivity of a text unit with all other text units in a text can be simply assessed by quantifying the elements (e.g. words) which each text unit shares with pairs built by associating each element in the text with the list of pointers to the text units in which the element occurs. This provides a significant advantage in terms of processing speed when compared to a method such as the one
- 10 described by Hoey (1991) and Collier (1994) where the same assessment is carried out by computing all pairwise combinations of text units. In particular, the word-per-second processing rate is significantly less affected by text size.

- The method may include the further step of ranking the text units on the basis of said
- 15 individual scores.

- In one embodiment of the invention, said text units are sentences, said strings are words forming said sentences, and the method comprises the additional steps of removing stop-words, stemming each remaining word and indexing the sentences prior to carrying
- 20 out said summing step, and said structures are stem-index records each comprising a stemmed word and one or more indexes corresponding to sentences in which said stemmed word occurs.

- In an alternative embodiment, said text is associated with a word text comprising words,
- 25 each word being associated with one or more subject codes representing subjects with which said word is associated, and said strings are subject codes associated with said words.

- In this case the method may comprise the further step of keeping a record of the word spelling associated with each occurrence of a subject code in a text unit, and during said
- 30 summing step disregarding occurrences of the same subject code in a pair of text units if the same word spelling is associated with said same subject code in said pair of text units.

It will be appreciated that each word may have a number of possible subject codes, some of which are contextually inappropriate for the context in which the word is being used. The last-mentioned feature allows the method to perform disambiguation of the subject codes, by disregarding occurrences of subject codes which are contextually  
5 inappropriate, as will be described in greater detail below.

Said step of disregarding occurrences of subject codes may not be carried out for subject codes which relate to only a single word spelling in the word text.

10 Said processing step may include calculating a level for each text unit, in addition to said final score, and said level may indicate the value of the highest of said individual scores in relation to a threshold value.

This allows text units to be ranked first according to level, and second according to said  
15 final score, if desired.

The invention also provides a storage medium containing a program for controlling a programmable data processor to perform the method described above.

20 The invention also provides a system for ranking text units in a text, the system comprising a data processor programmed to perform the steps of the method described above.

Preferred embodiments of the invention will now be described, by way of example only,  
25 with reference to the accompanying drawings, in which:

Figure 1 shows a flow chart outlining some of the steps involved in a preferred embodiment of the invention;

30 Figure 2 shows a flow chart which is a continuation of the flow chart of Figure 1; and

Figure 3 shows an apparatus suitable for carrying out the methods described below.



In an embodiment of the invention described below the ranking of text units is carried out with reference to the presence of shared words across text units. The assessment of textual relevance and connectivity can both be carried out by counting shared links (e.g. identical words) across all text unit pairs. The method makes it possible to perform this  
5 assessment by quantifying the elements (e.g. words) which each text unit shares with stem-index pairs, each such pair comprising an element in the text and a list of pointers to the text units in which the element occurs. This technique makes it possible to rank text units at a processing rate which is significantly less affected by text size than a  
10 combinations of text units.

The ranking is done by assessing

1. how germane each text unit is to the source text (*textual relevance*);
- 15 2. how well connected each text unit is to other text units in the source text (*textual connectivity*); and
3. how well each text unit represents the various topics dealt with in the source text (*topic aptness*).

20 In a further embodiment described below, the same technique is used for assessment of topic aptness. Shared links across text units are verified in terms of overlapping semantic codes associated with words (e.g. the connotations “business” and “government” for the word *executive*) with reference to a dictionary or thesaurus database providing a specification of such codes for word entries.

25

The method can be divided into two phases, namely a preparatory phase, followed by a ranking phase. In the preparatory phase the text undergoes a number of normalisations which have the purpose of facilitating the process of computing lexical cohesion. This phase includes the following operations:

30

1. text segmentation;
2. removal of formatting commands;
3. recognition of proper names;
4. recognition of multi-word expressions;

5. removal of stop words; and
6. word tokenization.

Further ways of normalizing the input text are also mentioned later in the specification.

5

The objection of *segmentation* is to partition the input text into text units which stand on their own (e.g. sentences, titles, and section headings) and to index such text units, for example as shown in the sample text given above.

- 10 Next, formatting commands such as the HTML (hyper-text mark-up language) mark-ups in the text are dealt with.

The sample text including HTML formatting commands looks like the following:-

- 15 <h2>Report: Apple Looking for a Partner</h2>

<!--TextStart -->

<p>

NEW YORK (Reuter) – Apple is actively looking for a friendly merger partner, according to several executives close to the company, the New York Times said on Thursday.

20

<p>

One executive who does business with Apple said Apple employees told him the company was again in talks with Sun Microsystems, the paper said.

25

<p>

On Wednesday, Saudi Arabia's Prince Alwaleed Bin Talal bin Abdulaziz Al Saud said he owned more than five percent of the computer maker's stock, recently buying shares on the open market for a total of \$115 million.

<p>

30

Oracle Corp Chairman Larry Ellison confirmed on March 27 he had formed an independent investor group to gauge interest in taking over Apple.

<p>

The Company was not immediately available to comment.

<!--TextEnd -->

In the present embodiment, the formatting commands are simply removed, but alternative treatments are mentioned below.

- 5 A facility for recognizing proper names and multi-word expressions is also included. Such a facility makes it possible to process expressions such as *Apple*, *New York*, *New York Times*, *gauge interest* as single units which should not be further tokenized. The recognition of such units ensures that expressions which superficially resemble each other, but have different meanings – e.g. *Apple* (the company) and *apple* (the fruit), or
- 10 *York* in *New York* (the city) and *New York Times* (the newspaper) – do not actually generate lexical cohesion links. For further information relating to recognising proper nouns and multi-word expressions reference can be made respectively to *David McDonald (1996) Internal and External Evidence in the Identification and Semantics Categorization of Proper Names*, In *B. Boguraev and J. Pustejovsky (eds) Corpus*
- 15 *Processing for lexical Acquisition*, MIT Press and *Justeson, J. S. and Katz, S.M., 1995. Technical terminology: some linguistic properties and an algorithm for identification in text. In Natural Language Engineering, 1:9--27.*

- Next, all words in the input text which match stop words, such as those mentioned
- 20 above, are removed. This step ensures that words which are low in informational content are not taken into account when assessing lexical cohesion. After stop-word removal, the calculation of shared words across text units is further optimized by tokenizing non-stop words. Word tokenization is achieved by reducing words into stems or citation forms, e.g.

<i>Input strings</i>	<i>stems</i>	<i>citation forms</i>
actively looking	activ look	actively look

- 25 Citation forms generally correspond to the manner in which words are listed in conventional dictionaries, and the process of reducing words to citation form is referred to as lemmatisation. Reduction of words to stem form generally involves a greater truncation of the word in which all inflections are removed. The purpose of reducing
- 30 words of stems or citation forms is to achieve a more effective notion of word sharing, e.g. one which abstracts away from the effects of inflectional and/or derivational morphology. Stemming provides a very powerful word tokenization technique as it

undoes both derivational and inflectional morphology. For example, stemming makes it possible to capture the similarity between the words *nature*, *natural*, *naturally*, *naturalize*, *naturalizing* as they all reduce to the stem *natur*. Word reduction to citation form would only capture the relationship between *naturalize* and *naturalizing*. In the present embodiment, stemming will be used. For a description of some stemming techniques reference can be made to, Frakes W. (1992) *Stemming Algorithms*, in *Frakes W and Baeza-Yates R (eds) Information Retrieval: Data Structures & Algorithms*. Prentice Hall, Upper Saddle River, NJ, USA, pp. 131-160. For further information relating to lemmatisation reference can be made to *Hadumod Bussmann (1996) Routledge Dictionary of Language and Linguistics*, Routledge, London, P.272

Following the stages of stop-word removal and stemming, the sample text is as shown below.

- #1# report Apple look partner
- #2# New-York Reuter Apple activ look friend merger partner accord  
execut close company New-York-Times Thursday
- #3# execut busy Apple Apple employ tell company talk Sun-Microsystems  
paper say
- #4# Wednesday Saudi-Arabia Prince  
Alwaleed-Bin-Talal-Bin-Abdulaziz-Al-Saud own percent maker stock  
recent buy share market total 115 million
- #5# Oracle-Corp Chairman Larry-Ellison confirm March 27 form independent  
investor gauge-interest take-over Apple
- #6# company immediat avail comment

Following the preparatory phase described above, the textual relevance and connectivity of each text unit is assessed by measuring the number of stems which the text unit shares with each of the other text units in the sample text. The ranking process comprises two main stages: the indexing of tokenized words, and the scoring of tokenized words in text units.

In the first stage, all stems in the normalized text, which has undergone the preparatory phase described above, are indexed with reference to the text units in which they occur. For example, Apple occurs five times in four of the text units in the normalised text:

once in #1#, #2#, #5# and twice in #3#. Consequently, a record is made where "Apple" is associated with these text unit indexes:

<Apple {#1#, #2#, #3#, #3#, #5#}>

5

A similar record is made for each other stem in the normalised text, each record being referred to as a stem-index record.

10 A final text unit score is calculated for each text unit using the list of stem-index records resulting from the indexing stage described above. The objective of such a scoring process is to register how often the tokenized words from a text unit occur in each of the other text units. In performing this assessment, provisions are made for a threshold which specifies the minimal number of links required for text units to be considered as lexically cohesive. The recursive scoring procedure is used to generate the final scores  
15 for each text unit makes use of the following variables.

- TRSH is the lexical cohesion threshold
- TU is the current text unit
- 20 - LC<sup>TU</sup> is the current lexical cohesion score of TU (i.e. LC<sup>TU</sup> is the count of tokenized words TU shares with some other text unit).
- CLevel is the level of the current lexical cohesion score calculated as the difference between LC<sup>TU</sup> and TRSH
- Score is the lexical cohesion score previously assigned TU (if any)
- 25 - Level is the level for the lexical cohesion score previously assigned to TU (if any)

The scoring procedure makes use of a scoring structure <level, TU, Score>, and is repeated for each text unit in turn, in order to produce the final score for the text unit TU (ie. the final value of LC<sup>TU</sup> in the scoring structure). The procedure can then be  
30 repeated for other text units TU. The recursive scoring procedure used in this exemplary embodiment is as follows.

**if LC<sup>TU</sup> = 0, then do nothing**

**else, if the scoring structure <Level, TU, Score> exists, then**

if Level > CLevel, then do nothing  
 else, if Level = CLevel, then the new scoring structure is <Level, TU, Score +  $LC^{TU}$ >  
 else, if CLevel > 0, then  
 5       if Level > 0, then new scoring structure is <1, TU, Score +  $LC^{TU}$ >  
           if Level ≤ 0, then the new scoring structure is <1, TU,  $LC^{TU}$ >  
           else if CLevel ≤ 0 the new scoring structure is <CLevel, TU,  $LC^{TU}$ >  
 else (if the scoring structure does not exist then)  
       if CLevel > 0, then create the scoring structure <1, TU,  $LC^{TU}$ >  
 10      else create the scoring structure <CLevel, TU,  $LC^{TU}$ >

The above procedure can be more readily understood by referring to Figure 1, which shows the procedure in the form of a flow chart. In the flow chart decisions are indicated by diamond-shaped boxes. If the answer to the question within the box is  
 15   “yes”, the procedure follows the arrow labelled “Y” at the bottom of the box, otherwise the procedure follows the arrow labelled “N” at one of the sides of the box.

The start of the procedure is indicated by step 10. In step 12 the index of the first text unit of the normalised text is taken and represented by #TU#. In step 14 the index of  
 20   the last text unit is taken and represented by #B#. In the sample text given above, the last text unit is text unit #6#. The procedure then flows to step 16 where the lexical cohesion score of #TU# and #B# is calculated and assigned to  $LC^{TU}$ . This lexical cohesion score is the “individual score” referred to above and shown in Table 1. However, the manner in which it is calculated differs from that described above, and  
 25   will now be described.

Suppose for example, we are scoring text unit #2# (ie. #TV# = #2#) with a lexical cohesion threshold of 2. First, all stem-index records whose stem is present in text unit #2# are selected, as shown below.

30   <Apple {#1#, #2#, #3#, #3#, #5#}>  
       <company {#2#, #3#, #6#}>  
       <execut {#2#, #3#}>  
       <look {#1#, #2#}>

<partner {#1#, #2#}>

Stems which are associated with only one text unit index are eliminated from this list as they simply occur in a text unit, but do not connect a pair of text units.

5

Then a “tuple” is formed consisting of the index for the text unit to be scored for lexical cohesion (i.e. #2#), and all the stem–index records whose stem occurs in that text unit, as shown below.

10

<Apple {#1#, #2#, #3#, #3#, #5#}>

<company {#2#, #3#, #6#}>

< #2# <execut {#2#, #3#}>

<look {#1#, #2#}>

<partner {#1#, #2#}>

15

Next, identical index occurrences in the tuple are summed together, to give the following results.

	#1#	#2#	#3#	#4#	#5#	#6#
#2#	3		4	0	1	1

Table 2

20

Index occurrences referring to the text unit being assessed (i.e. #2#) are not counted as they do not register lexical cohesion (thus the second entry in the table is blank).

The same procedure of forming a tuple and summing identical index occurrences is then carried out for each other text unit. For example, the tuple for text unit #6# is:-

25

<#6# <company {#2#, #3#, #6#}>>

This is simpler than the tuple for text unit #2# because “company” is the only stem which text unit #6# shares with any other text unit. This tuple gives the following individual scores for text unit #6#.

30

	#1#	#2#	#3#	#4#	#5#	#6#
#6#	0	1	1	0	0	-

Table 3

5 This method is considerably faster than that of the prior art because it does not involve a comparison of every pair of text units for each word in the sample text.

10 The final cohesion score of text units #2# and #6# is calculated by applying the scoring procedure of Figure 1 to each row in table 2 and table 3 respectively. Scoring a text unit according to this procedure involves adding the individual scores which are either above a threshold (for Level 1), or below the threshold and of the same magnitude (for lower levels) (The use of "Levels" in the procedure is discussed below).

15 Having discussed the way in which individual lexical cohesion scores (for each text unit pair) are calculated in step 16 using tuplets, we shall return to Figure 1 to follow the procedure for calculation of the final lexical cohesion score for each text unit.

20 However, before returning to Figure 1 it is noted that the simplest way of forming the final score would be to sum the individual scores for each text unit (i.e. for #2# and #6#, sum each row in Tables 2 and 3 above), whilst ignoring all individual scores below a certain threshold value. However, the procedure of Figure 1 goes further in that it determines not only a final score for each text unit, but also a "level" for each text unit, as discussed below.

25 The highest level is "1", which indicates that the greatest individual score (for a given text unit) is above the threshold. The final score for that text unit is then simply the sum of all individual scores (for that text unit) which are above the threshold.

The meanings of level 1 and the next three levels below level 1, and the ways in which the final score for these levels is calculated, are shown in the table below.



Level	Meaning of Level	Final Score
1	Greatest individual score > threshold	Sum of all individual scores above threshold
0	Greatest individual score = threshold	Sum of all individual scores equal to threshold.
-1	Greatest individual score = threshold - 1	Sum of all individual scores equal to threshold - 1
-2	Greatest individual score = threshold - 2	Sum of all individual scores equal to threshold - 2

It will be seen that if threshold = 0, only level 1 exists, and the final score for a given text unit is simply the sum of all individual scores for that text unit. In fact the total number of levels is equal to the threshold + 1.

Some examples of individual scores, and the levels and final scores they produce (by following the procedure of Figure 1) for a threshold of 2 are given below.

Individual scores	Level	Final Score
2 0 2 0 1	0	4
1 1 0 0 0	-1	2
5 6 2 0 0	1	11
1 1 1 1 1	-1	5

The purpose of calculating a level for each text unit is to allow the text units to be ranked first according to level (highest level first) and second according to final score (highest final score first). In this way, text units having no individual scores above the threshold are not necessarily ignored in the subsequent summarisation process.

Returning to Figure 1, in step 18 the procedure branches into two depending on whether  $LC^{TU} = 0$ , where  $LC^{TU}$  is the lexical cohesion score of the text unit currently being considered. A lexical cohesion score of zero between two text units (ie.  $LC^{TU}=0$ )

indicates that the two text units do not share any stems. If  $LC^{TU} = 0$  then the procedure goes to step 20. As discussed below, the text unit index #B# is decremented by 1 at step 28 during each cycle of the procedure. At step 20, if #B# has reached 1 then #TU# is incremented by 1 in step 22. That is, the next text unit (in this case #2#) is assigned to #TU#. In step 24 the procedure is stopped (at step 26) if #TU# has reached the maximum value +1 (i.e.  $6+1=7$  for our sample text), otherwise control passes back to step 14.

At step 20, if #B# has not yet been decreased to the first text unit (i.e. #1#) then control passes to step 28, in which #B# is decremented by 1 (ie. the next lower text unit is assigned to #B#).

It will therefore be seen that the effect of steps 10 to 28 is to calculate the individual lexical cohesion scores for all pairs of text units.

Returning to step 18, if  $LC^{TU}$  does not equal 0, then control passes to step 30, which determines whether or not the scoring structure <Level, TU, Score> already exists. The first time that step 30 is reached no scoring structure will already exist, and control will pass to step 32, which determines whether CLevel is greater than 0. CLevel is the current value of Level and is equal to  $(LC^{TU} - TRSH)$ , where TRSH is the lexical cohesion threshold, which is selected in advance. In steps 34 and 36 values are assigned to the scoring structure according to the outcome of step 32, and control then passes back to step 20.

At step 30, if the scoring structure already exists (which will always be the case except for the first time step 30 is reached for each value of TU, given that the first time step 30 is reached values are assigned to the scoring structure at steps 34 and 36 as described above), control passes to step 38 which determines whether Level (i.e. the previous value of CLevel) is greater than CLevel. If so, control passes back to step 20.

Otherwise, control passes to step 40, which determines whether Level is equal to CLevel. If so, new values are assigned to the scoring structure in step 42, and control passes back to step 20. Otherwise, control passes to step 44 (see Figure 2), which determines whether CLevel is greater than 0. If so, control passes to step 46, and new values are assigned to the scoring structure in step 48, or step 50, depending on whether

the level is greater than 0, and control passes back to step 20. At step 44, if CLevel is not greater than 0, control passes to step 52, which determines whether CLevel is less than, or equal to, 0. If step 52 is reached, the answer to this question should always be yes, so that new values are assigned to the scoring structure in step 54, and control is

5 passed back to step 20.

Following the procedure of Figure 1 for all text units in the sample text, and a threshold of 2, the levels and final scores assigned to each text unit are as follows:-

Text Unit	Level	Score
#1#	1	3
#2#	1	7
#3#	1	4
#4#	-	0
#5#	0	2
#6#	-1	2

10

These provide the following ranking of text units in terms of lexical cohesion.

Rank	Text Unit	Level	Score
1 <sup>st</sup>	#2#	1	7
2 <sup>nd</sup>	#3#	1	4
3 <sup>rd</sup>	#1#	1	3
4 <sup>th</sup>	#5#	0	2
5 <sup>th</sup>	#6#	-1	2
6 <sup>th</sup>	#4#	-	0

This shows the preferred order in which the text units will be selected in a

15 summarisation process. It is noted that no level is assigned to text unit #4#, as this text unit shares no stems with any other text unit.

When used with a dictionary database providing information about the “subject domain” of words the method described above can be slightly modified to detect the

20 major themes and topics of a document automatically.

As an example, the words in our sample text have the following subject domain codes.

Word	Associated Codes
actively-adv	OR
business-n	BZ
buy-v	MAR, MERG, MI
confirm-v	CHR
company-n	F, MI, SCG, TH
employee-n	LAB
executive-n	BZ, GOV
friendly-adj	FA, G,
group-n	GROU, OR, POP
independent-adj	CHT, FA
interest-n	BZ, EC, G, J, U
investor-n	IV, ON
look-v	PHYA
maker-n	JC
market-n	BZ, MAR
merger-n	MERG
open-adj	CER, PFE
own-v	MEN
paper-n	PAPP
partner-n	DA, F, MGE, TG
say-v	CN
stock-n	AH, AM, AP, BRE, FLW FOO, GU, IV, PM
take-v	EC, PG, SH, V, WRI
talk-n	RHE

The meanings of these codes are given below:-

CODE	Explanation
AH	Animal Farming & Husbandry
AM	Animal Names (not taxonomic terms (TAXI))
AP	Anthropology & Ethnology (incl racial groups)
BRE	Breeds and Breeding
BZ	Business & Commerce
CER	Ceremonies
CHR	Christianity
CHT	Character Traits (eg. meddlesome, mellow, outgoing)
CN	Communications (eg. telephony, telegraphy, audiovisual, information science, radio)
DA	Dance & Choreography
EC	Economics & Finance
F	Finance & Business
FA	Overseas Politics & International Relations
FLW	Flower Names: plants known primarily as flowers
FOO	Foods: all edible items
G	Sports (incl Games & Pastimes)
GOV	Government Admin & Organisations (eg reshuffles)
GROU	Groups of Musicians
GU	Guns
IV	Investment & Stock Markets
J	Crime and the Law
JC	Judaeo-Christian Religion
LAB	Staff and the Workforce (incl Labour relations)
MAR	Marketing & Merchandising
MEN	Mental States & Feelings (eg. depressed, tense, non-plussed)
MERG	Mergers, Monopolies, Takeovers, Joint Ventures
MGE	Marriage, Divorce, Relationships & Infidelity
MI	Military (the armed forces)
ON	Occupations & Trades
OR	Organisations, Groups & Orders
PAPP	Paper & Stationery
PFE	Banking & Personal Finance
PG	Photography
PHYA	Animal physiology
PM	Plant Names
POP	Pop & Rock
RHE	Rhetoric & Oratory (eg. ad lib, eulogy, scripted)
SCG	Scouting & Girl Guides
SH	Clothing
TG	Team Games
TH	Theatre
U	Politics, Diplomacy & Government
V	Travel and Transport (incl. transport infrastructure)
WRI	Writing

A further embodiment relating to subject analysis involves a method which is the same as that described above, except that each word is first lemmatised (rather than stemmed), and then replaced by all of the subject domain codes associated with that word. The individual scores for pairs of text units are then calculated on the basis of shared codes rather than shared words, using code-index records, rather than stem-index records.

However, an extra (disambiguation) step is required in order to avoid (or at least reduce the chances of) counting codes which are out of context, that is codes which relate to senses of the word other than the intended sense. The disambiguation step involves dropping text unit indexes from the code-index records of tuples if they relate to the same word as the first element (i.e. text unit index) of the tuple. This requires that the word associated with each text unit index in each code-index record be remembered (ie. recorded) by the procedure. This procedure can be demonstrated by the following example.

In the sample text the code BZ (Business & Commerce) is associated with the words;

*executive* occurring once in text units #2# and #3#  
*business* occurring once in text unit #3#  
*market* occurring once in text unit #4#  
*interest* occurring once in text unit #5#

Consequently, a code-index record can be made where the subject domain code BZ is associated with these text unit indexes, that is:

<BZ {#2# #3# #3# #4# #5#}>

The full list of code-index records for the sample text is shown below (instances where a code occurs in a single text unit are removed as they do not represent lexical cohesion links).

<BZ {#2# #3# #3# #4# #5#}>  
 <CN {#2# #3# #3# #4#}>

<DA {#1# #2#}>  
 <F {#1# #2# #2# #3# #6#}>  
 <FA {#2# #5#}>  
 <GOV {#2# #3#}>  
 5 <IV {#4# #5#}>  
 <MGE {#1# #2#}>  
 <MI {#2# #3# #6#}>  
 <SCG {#2# #3# #6#}>  
 <TG {#1# #2#}>  
 10 <TH {#2# #3# #6#}>

The first tuple (disregarding the disambiguation step mentioned above) is then:

<DA {#1# #2#}>  
 15 <#1# <F {#1# #2# #2# #3# #6#}>>  
 <MGE {#1# #2#}>  
 <TG {#1# #2#}>

and so on for the other tuples.

20

To simplify matters, in order to illustrate the disambiguation step, rather than calculate the individual scores for each pair of text units, we shall consider only the contribution to the individual scores which is made by one of the codes, for example code BZ. The BZ components of all the tuples are:

25

<#2# <BZ {#2# #3# #3# #4# #5#}>>  
 <#3# <BZ {#2# ~~#3#~~ #3# #4# #5#}>>  
 <#4# <BZ {#2# #3# #3# #4# #5#}>>  
 <#5# <BZ {#2# #3# #3# #4# #5#}>>

30

Where indexes are identical with the first index of each tuple are shown in “strikethrough” to indicate that they are excluded, as above.

When allowance is made for the fact that each index is associated with a particular word, the BZ components of the tuples become:

<#2 (executive) # <BZ {#3 (business)# #4# #5#}>>  
 <#3 (executive) # <BZ {#4# #5#}>>  
 5 <#3(business)#<BZ{#2(executive)#, #4#, #5#}>>.  
 <#4# <BZ {#2# #3# #3# #5#}>>  
 <#5# <BZ {#2# #3# #3# #4#}>>

Where the disambiguation step is illustrated above by showing indexes relating to words identical with the first index of each tuple in strikethrough to indicate that they  
 10 are excluded. The final tuples are then:

<#2 (executive) # <BZ {#3 (business)# #4# #5#}>>  
 <#3 (executive) # <BZ {#4# #5#}>> nb. #2 (executive) # excluded.  
 <#3 (business) # <BZ {#2# #4# #5#}>>  
 15 <#4# <BZ {#2# #3# #3# #5#}>>  
 <#5# <BZ {#2# #3# #3# #4#}>>

The contribution made by BZ to the individual scores of text unit pairs are then as follows:

20

	#1#	#2#	#3#	#4#	#5#	#6#
#1#	-	0	0	0	0	0
#2#	0	-	1	1	1	0
#3#	0	1	-	2	2	0
#4#	0	1	2	-	1	0
#5#	0	1	2	1	-	0
#6#	0	0	0	0	0	-

When the same procedure is followed for certain other codes, such as DA, FA, GOV etc, no valid tuples result. This is because the text unit indexes within the code-index records for these codes all relate to the same word. For example, the code GOV arises  
 25 from the word “executive” which occurs in text units #2# and #3#, thus creating the code-index record <GOV {#2# #3#}> mentioned above. Because this code-index record does not form a valid tuple, the “Government” sense of the word “executive” makes no contribution to the individual scores mentioned above. We have already seen



that the "Business" sense of the word "executive", does make such a contribution, which is the desired result because it is the "Business" sense of the word which is intended in the sample text. The method thus achieves a degree of disambiguation of the subject domain codes, and rejects codes which are out of context.

5

Only instances where the words related to the same code differ in spelling are taken into account. This makes it possible to achieve higher precision in individuating salient themes/topics and assessing their relative importance. Taking the intersection of code sets for words with different spelling occurring in the same document tends to exclude contextually inappropriate interpretations for the words.

10

However, in cases where a word in the sample text is associated with only one subject code, the disambiguation step is not carried out because no disambiguation is necessary. Hence the code CN, relating to the word "say" remains.

15

The following table shows the text unit pairs which each code connects.

CODES	TEXT UNIT PAIRS
BZ	2-3 2-4 2-5 3-4 3-5 3-2 3-4 3-5 4-2 4-3 4-3 4-5 5-2 5-3 5-3 5-4
F	1-2 1-3 1-6 2-1 2-3 2-6 3-1 3-2 6-1 6-2
FA	2-5 5-2
IV	4-5 5-4
CN	3-4 4-3

Only five codes form valid tuples, all the other codes being excluded (as described above).

20

In total, we have: 16 text unit pairs for BZ, 10 for F, and 2 for FA and IV and CN.

These data can be used to rank text units in the sample text in terms of topic aptness by adaptation of the procedure of Figure 1.

25

The total of all individual scores for each subject domain code (eg. 16 for BZ, etc) can be converted into percentage ratios to provide a topic/theme profile of the text as shown in the table below:-

50%	BZ	Business & Commerce
31.25%	F	Finance & Business
6.25%	IV	Investment & Stock Markets
6.25%	FA	Overseas Politics & International Relations
6.25%	CN	Communications

For example, the percentage for BZ is calculated as  $16/(16+10+2+2+2) = 50\%$

- 5 When used in a summarization system, the level-based differentiation of text units obtained through the ranking procedure of Figure 1 (whether based on words or on codes) can be made to provide an automatic indication of abridgement size, for example by automatic selection of all level 1 text units.
- 10 Summary size can also be specified by the user, e.g. as a percentage of the original text size, the selected text units being chosen from among the ranked text units with higher levels and higher scores.

The methods described can also be used as indexing devices in various information systems such as information retrieval and information extraction systems. For example, in a database comprising a large number of texts it is often desirable to provide a short abstract of each text to assist in both manual and computer searching of the database. The methods described above can be used to generate such short abstracts automatically.

20

The ranking method described above can also be applied taking into account additional ways of assessing lexical cohesion, which could be used at step 18 of Figure 1, such as:

1. the presence of synonyms across text units as established by consulting an electronic dictionary of synonyms;
2. the presence of words sharing the same semantic indicators across text units as established by consulting an electronic dictionary, as in the example with subject domain codes discussed above;

30

3. the presence near-synonymous words across text units established by estimating the degree of semantic similarity between word pairs, as in the method disclosed in British Patent Application No. 9717508.7.
- 5 4. the presence of anaphoric links across text units, i.e. links between a referential expression such as a pronoun or a definite description (e.g. *The company* in text unit #6#, and its antecedent (*Apple* in text unit #5#).

The same ranking method described in the preferred embodiment can also be applied by  
10 using formatting commands as indicators of the relevance of particular types of text fragments. For example, text fragments enclosed in formatting commands encoding titles and section headings such as

<h2>Report: Apple Looking for a Partner</h2>

15 typically contain words which can be effectively used to provide an indication of the main topic in a text. These words can be given extra weight in the above method, and thus be used to assign additional textual relevance to text units which contain them, e.g. by increasing further the lexical cohesion score of such text units during the ranking  
20 procedure described above. Formatting commands can also be selectively preserved so as to maintain as much of the page layout for the original text as possible.

The ranking method described above can also be applied by using lemmatizing instead of stemming as a word tokenization technique, or dispensing with word tokenization  
25 altogether.

The same ranking method can also be applied to texts written in a language other than English, by providing

- 30 1. a list of stop words for the language;
2. a stemmer or lemmatizer for the language; and
3. any additional means for assessing lexical cohesion in the language such as semantic similarity and anaphoric links

Figure 3 shows schematically a system suitable for carrying out the methods described above. The system comprises a programmable data processor 70 with a program memory 71, for instance in the form of a read only memory ROM, storing a program for controlling the data processor 70 to perform, for example, the method illustrated in  
5 Figures 1 and 2. The system further comprises non-volatile read/write memory 72 for storing, for example, the list of stop words and the subject domain codes mentioned above. "Working" or "scratch pad" memory for the data processor is provided by random access memory (RAM) 73. An input interface 74 is provided, for instance for receiving commands and data. An output interface 75 is provided, for instance for  
10 displaying information relating to the progress and result of the procedure.

A text sample may be supplied via the input interface 74 or may optionally be provided in a machine-readable store 76. A thesaurus and/or a dictionary may be supplied in the read only memory 71 or may be supplied via the input interface 74. Alternatively, an  
15 electronic or machine-readable thesaurus 77 and an electronic or machine-readable dictionary 78 may be provided.

The program for operating the system and for performing the method described hereinabove is stored in the program memory 71. The program memory may be  
20 embodied as semiconductor memory, for instance of ROM type as described above. However, the program may be stored in any other suitable storage medium, such as floppy disc 71a or CD-ROM 71b.

**CLAIMS:**

- 1 A method of operating on a text comprising a plurality of text units, each  
comprising one or more strings, the method comprising the steps of:
- 5 forming a structure for each of at least some of said strings, in which structure a  
string is associated with each text unit in which the string occurs;
- for each text unit summing the number of occurrences of each other text unit in  
10 the same structure or structures so as to form an individual score for each pair of  
text units; and
- processing said individual scores for each text unit in order to form a final score  
for each text unit.
- 15
- 2 A method of operating on a text as claimed in claim 1, which includes the further  
step of ranking the text units on the basis of said individual scores.
- 3 A method of operating on a text as claimed in claim 1 or 2, wherein said text units  
20 are sentences, said strings are words forming said sentences, and the method  
comprises the additional steps of removing stop-words, stemming each remaining  
word and indexing the sentences prior to carrying out said summing step, and  
wherein said structures are stem-index records each comprising a stemmed word  
and one or more indexes corresponding to sentences in which said stemmed word  
25 occurs.
- 4 A method of operating on a text as claimed in claim 1 or 2, wherein said text is  
associated with a word text comprising words, each word being associated with  
one or more subject codes representing subjects with which said word is  
30 associated, and wherein said strings are subject codes associated with said words.
- 5 A method of operating on a text as claimed in claim 4, which comprises the  
further step of keeping a record of the word spelling associated with each  
occurrence of a subject code in a text unit, and wherein during said summing step

occurrences of the same subject code in a pair of text units are disregarded if the same word spelling is associated with said same subject code in said pair of text units.

- 5    6    A method of operating on a text as claimed in claim 5 wherein said step of disregarding occurrences of subject codes is not carried out for subject codes which relate to only a single word spelling in the word text.
- 10    7    A method of operating on a text as claimed in any preceding claim in which said processing step includes calculating a level for each text unit, in addition to said final score, and wherein said level indicates the value of the highest of said individual scores in relation to a threshold value.
- 15    8    A method of operating on a text substantially as hereinbefore described, excluding references to prior art.
- 9    9    A storage medium containing a program for controlling a programmable data processor to perform a method as claimed in any one of the preceding claims.
- 20    10    A system for ranking text units in a text, the system comprising a data processor programmed to perform the steps of the method of any one of claims 1 to 8.

**ABSTRACT**  
**Ranking of Text Units**

- 5      A method of operating on a text comprising a plurality of text units, each text unit comprising one or more strings, so as to rank said text units, comprises:
- forming a structure for each of at least some of said strings, in which structure a string is associated with each text unit in which the string occurs; for each text unit
- 10      summing the number of occurrences of each other text unit in said structures so as to form an individual score for each pair of text units; and
- processing the individual scores for each text unit in order to form a final score for each text unit on the basis of which the text units can be ranked.

15

Figure 1

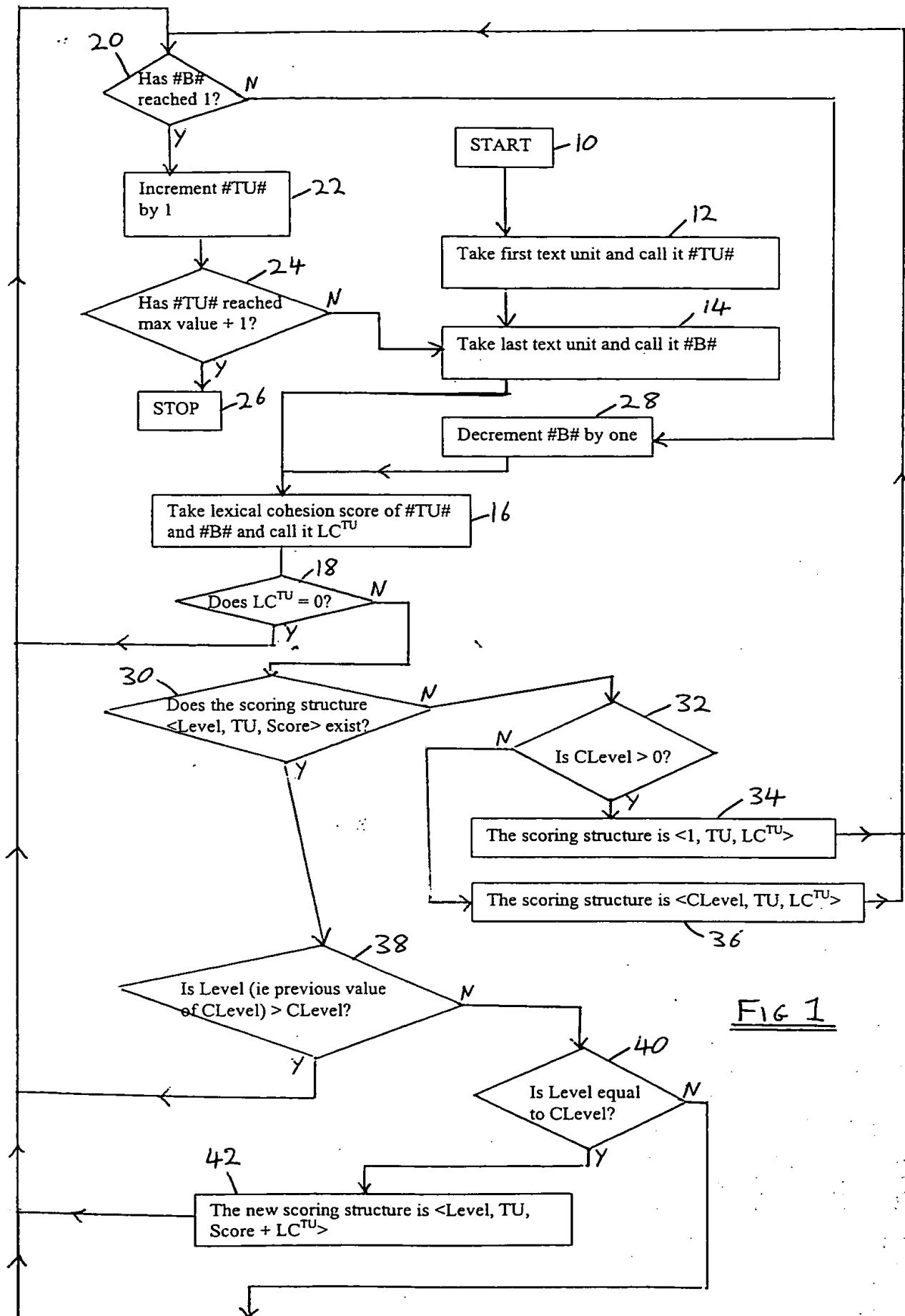
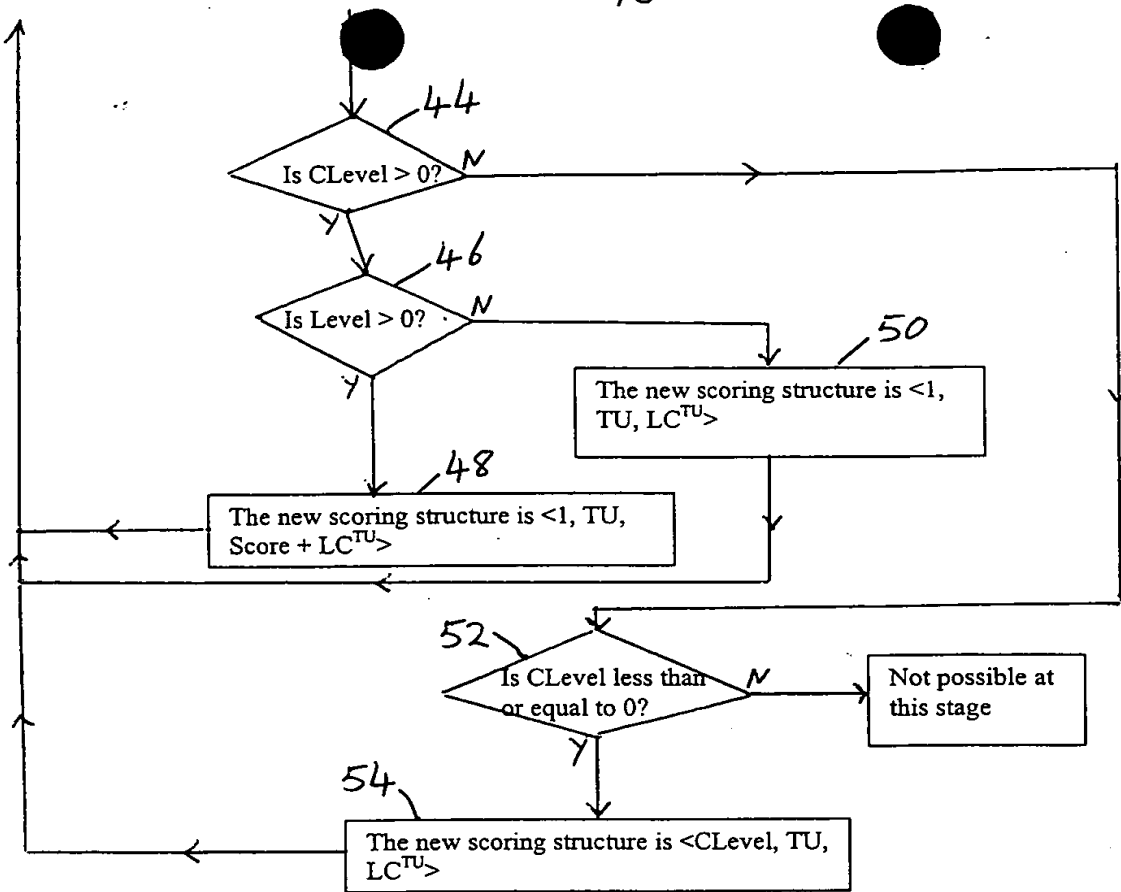
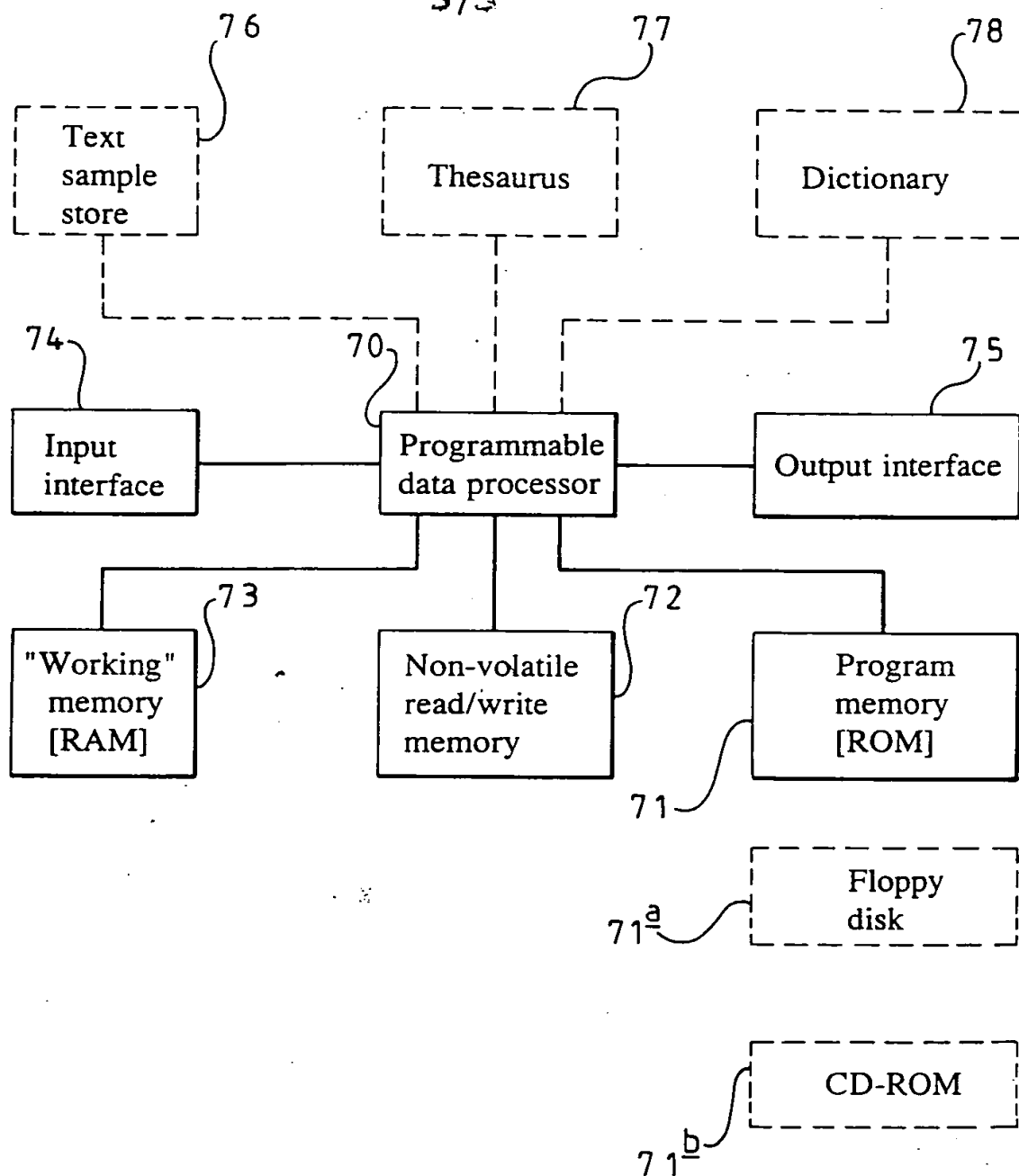


Fig 1



FIG 2

FIG 3